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\* Admitted in NY only  
\*\* Passed the Patent Bar Examination

July 30, 2001

Box Missing Parts  
Commissioner for Patents  
Washington, D.C. 20231

Re: U.S. Patent Application Serial No. 09/825,534  
Entitled: *Apparatus and Method for Prediction and  
Management of Subject Compliance In Clinical Research*  
Applicants: Saul Shiffman, et al.  
Filed: April 2, 2001  
Attorney Docket No.: IVQ-001

Dear Sir:

I enclose herewith for filing in the above-identified application the following:

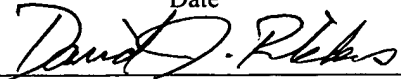
1. Response to Notice To File Missing Parts of NonProvisional Application (2pgs);
2. Copy of the Notice To File Missing Parts of NonProvisional Application (1pg);
3. Executed Declaration, Petition and Power of Attorney (6pgs);
4. Request for Correction of Filing Receipt (1pg);
5. Copy of Filing Receipt with the change noted in red (4pgs);
6. Check in the amount of \$65.00 (surcharge fee); and
7. Return Postcard.

Please charge any necessary fees to our Deposit Account No. 12-0080. The undersigned requests any extensions of time necessary to respond. A duplicate of this sheet is enclosed.

I hereby certify that this correspondence is deposited with the United States Postal Service as first class mail in an envelope addressed to: Box Missing Parts, Commissioner for Patents, Washington, DC 20231 on:

July 30, 2001

Date

  
David J. Rikkers, Reg. No. 43,882

Respectfully submitted,

LAHIVE & COCKFIELD, LLP



David J. Rikkers  
Reg. No. 43,882  
Attorney for Applicants



**IN THE UNITED STATES PATENT AND TRADEMARK OFFICE**

In re the application of: Shiffman, et al.

Serial No.: 09/825,534

Filed: April 2, 2001

FOR: APPARATUS AND METHOD FOR  
PREDICTION AND MANAGEMENT OF SUBJECT  
COMPLIANCE IN CLINICAL RESEARCH

Attorney Docket No.: IVQ-001

Group Art Unit: 2176

Examiner: Not Yet Assigned

BOX MISSING PARTS  
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Washington, D.C. 20231


**Certificate of First Class Mailing (37 CFR 1.8(a))**

I hereby certify that this correspondence is being deposited with the United States Postal Service as first class mail in an envelope addressed to: BOX MISSING PARTS, Commissioner for Patents, Washington, D.C. 20231 on the date set forth below.

July 30, 2001

Date of Signature and of Mail Deposit

By:

  
David J. Ridders, Reg. No. 43,882  
Attorney for Applicants

**RESPONSE TO NOTICE TO FILE MISSING PARTS  
OF NON-PROVISIONAL APPLICATION**

Dear Sir:

Responsive to the Notice to File Missing Parts of Non-Provisional Application dated May 30, 2001, Applicants' agent submits herewith the executed Declaration, Petition and Power of Attorney for the above-identified patent application. A check in the amount of \$65.00 for the surcharge fee is enclosed.

Serial No. 09/825,534  
Group Art 2176



Please charge any underpayments or credit any overpayments associated with this communication to our Deposit Account No. 12-0080. A duplicate of this letter is enclosed.

Respectfully submitted,

LAHIVE & COCKFIELD, LLP

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David J. Rikkers, Reg. No. 43,882  
Attorney for Applicants

LAHIVE & COCKFIELD, LLP  
28 State Street  
Boston, MA 02109  
Tel. (617) 227-7400

Dated: July 30, 2001



IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

Receipt + \$  
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In re the application of: Shiffman, et al.

Serial No.: 09/825,534

Filed: April 2, 2001

For: APPARATUS AND METHOD FOR  
PREDICTION AND MANAGEMENT OF SUBJECT  
COMPLIANCE IN CLINICAL RESEARCH

Attorney Docket No.: IVQ-001

Group Art Unit: 2176

Examiner: Not Yet Assigned

Commissioner for Patents  
Washington, D.C. 20231

REQUEST FOR CORRECTION OF FILING RECEIPT

Dear Sir:

The Filing Receipt for the above-identified patent application incorrectly lists the address for Jean A. Paty. The correct address should be "Pittsburgh, PA" instead of "Pittsburgh, CA." A copy of the Filing Receipt with the change noted in red is submitted herewith.

I hereby certify that this correspondence is deposited with the United States Postal Service as first class mail in an envelope addressed to: Commissioner for Patents, Washington, DC 20231 on:

July 30, 2001

Date

*David J. Rikkers*

David J. Rikkers, Reg. No. 43,882

Respectfully submitted,

LAHIVE & COCKFIELD, LLP

*David J. Rikkers*

David J. Rikkers  
Reg. No. 43,882  
Attorney for Applicants



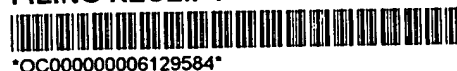
## UNITED STATES PATENT AND TRADEMARK OFFICE

COMMISSIONER FOR PATENTS  
UNITED STATES PATENT AND TRADEMARK OFFICE  
WASHINGTON, D.C. 20231  
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APPLICATION NUMBER	FILING DATE	GRP ART UNIT	FIL FEE REC'D	ATTY. DOCKET NO	DRAWINGS	TOT CLAIMS	IND CLAIMS
09/825,534	04/02/2001	2176	788	IVQ-001	2	37	10

CONFIRMATION NO. 9783

## FILING RECEIPT



\*OC000000006129584\*

Date Mailed: 05/30/2001

Receipt is acknowledged of this nonprovisional Patent Application. It will be considered in its order and you will be notified as to the results of the examination. Be sure to provide the U.S. APPLICATION NUMBER, FILING DATE, NAME OF APPLICANT, and TITLE OF INVENTION when inquiring about this application. Fees transmitted by check or draft are subject to collection. Please verify the accuracy of the data presented on this receipt. If an error is noted on this Filing Receipt, please write to the Office of Initial Patent Examination's Customer Service Center. Please provide a copy of this Filing Receipt with the changes noted thereon. If you received a "Notice to File Missing Parts" for this application, please submit any corrections to this Filing Receipt with your reply to the Notice. When the USPTO processes the reply to the Notice, the USPTO will generate another Filing Receipt incorporating the requested corrections (if appropriate).

## Applicant(s)

Saul Shiffman, Pittsburgh, PA;  
Michael R. Hufford, Pittsburgh, PA;  
Jean A. Paty, Pittsburgh, PA;  
*PA*

Domestic Priority data as claimed by applicant

Foreign Applications

If Required, Foreign Filing License Granted 05/30/2001

Projected Publication Date: To Be Determined - pending completion of Missing Parts

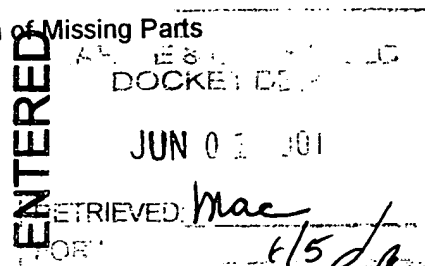
Non-Publication Request: No

Early Publication Request: No

\*\* SMALL ENTITY \*\*

Title

Apparatus and method for prediction and management of subject compliance in clinical research



**Date:** 05/30/2001



**LICENSE FOR FOREIGN FILING UNDER**  
**Title 35, United States Code, Section 184**  
**Title 37, Code of Federal Regulations, 5.11 & 5.15**

**GRANTED**

The applicant has been granted a license under 35 U.S.C. 184, if the phrase "IF REQUIRED, FOREIGN FILING LICENSE GRANTED" followed by a date appears on this form. Such licenses are issued in all applications where the conditions for issuance of a license have been met, regardless of whether or not a license may be required as set forth in 37 CFR 5.15. The scope and limitations of this license are set forth in 37 CFR 5.15(a) unless an earlier license has been issued under 37 CFR 5.15(b). The license is subject to revocation upon written notification. The date indicated is the effective date of the license, unless an earlier license of similar scope has been granted under 37 CFR 5.13 or 5.14.

This license is to be retained by the licensee and may be used at any time on or after the effective date thereof unless it is revoked. This license is automatically transferred to any related applications(s) filed under 37 CFR 1.53(d). This license is not retroactive.

The grant of a license does not in any way lessen the responsibility of a licensee for the security of the subject matter as imposed by any Government contract or the provisions of existing laws relating to espionage and the national security or the export of technical data. Licensees should apprise themselves of current regulations especially with respect to certain countries, of other agencies, particularly the Office of Defense Trade Controls, Department of State (with respect to Arms, Munitions and Implements of War (22 CFR 121-128)); the Office of Export Administration, Department of Commerce (15 CFR 370.10 (j)); the Office of Foreign Assets Control, Department of Treasury (31 CFR Parts 500+) and the Department of Energy.

**NOT GRANTED**

No license under 35 U.S.C. 184 has been granted at this time, if the phrase "IF REQUIRED, FOREIGN FILING LICENSE GRANTED" DOES NOT appear on this form. Applicant may still petition for a license under 37 CFR 5.12, if a license is desired before the expiration of 6 months from the filing date of the application. If 6 months has lapsed from the filing date of this application and the licensee has not received any indication of a secrecy order under 35 U.S.C. 181, the licensee may foreign file the application pursuant to 37 CFR 5.15 (b).

**PLEASE NOTE the following information about the Filing Receipt:**

- The articles such as "a," "an" and "the" are not included as the first words in the title of an application. They are considered to be unnecessary to the understanding of the title.
- The words "new," "improved," "improvements in" or "relating to" are not included as first words in the title of an application because a patent application, by nature, is a new idea or improvement.
- The title may be truncated if it consists of more than 500 characters (letters and spaces combined).
- The docket number allows a maximum of 25 characters.
- If your application was submitted under 37 CFR 1.10, your filing date should be the "date in" found on the Express Mail label. If there is a discrepancy, you should submit a request for a corrected Filing Receipt along with a copy of the Express Mail label showing the "date in."
- The title is recorded in sentence case.

Any corrections that may need to be done to your Filing Receipt should be directed to:

Assistant Commissioner for Patents  
Office of Initial Patent Examination  
Customer Service Center  
Washington, DC 20231





## UNITED STATES PATENT AND TRADEMARK OFFICE

COMMISSIONER FOR PATENTS  
UNITED STATES PATENT AND TRADEMARK OFFICE  
WASHINGTON, D.C. 20231  
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APPLICATION NUMBER	FILING/RECEIPT DATE	FIRST NAMED APPLICANT	ATTORNEY DOCKET NUMBER
09/825,534	04/02/2001	Saul Shiffman	IVQ-001

CONFIRMATION NO. 9783

## FORMALITIES LETTER



\*OC000000006129585\*

000959  
LAHIVE & COCKFIELD  
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BOSTON, MA 02109

Date Mailed: 05/30/2001

## NOTICE TO FILE MISSING PARTS OF NONPROVISIONAL APPLICATION

FILED UNDER 37 CFR 1.53(b)

*Filing Date Granted*

An application number and filing date have been accorded to this application. The item(s) indicated below, however, are missing. Applicant is given **TWO MONTHS** from the date of this Notice within which to file all required items and pay any fees required below to avoid abandonment. Extensions of time may be obtained by filing a petition accompanied by the extension fee under the provisions of 37 CFR 1.136(a).

- The oath or declaration is unsigned.
- To avoid abandonment, a late filing fee or oath or declaration surcharge as set forth in 37 CFR 1.16(e) of \$65 for a small entity in compliance with 37 CFR 1.27, must be submitted with the missing items identified in this letter.
- The balance due by applicant is \$ 65.

*A copy of this notice **MUST** be returned with the reply.*

A.T.

Customer Service Center

Initial Patent Examination Division (703) 308-1202

PART 2 - COPY TO BE RETURNED WITH RESPONSE

08/07/2001 AZERGAW1 00000139 09825534

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